

***Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571***

## I N D I V I D U A L A C C O U N T

*August 1, 2021 - August 31, 2021*

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ACCOUNT NUMBER 511-36052-18 RR WEA

JONATHAN P DURAN



**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ▶ ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.  
<https://www.finra.org/rules-guidance/notices/06-72>

**IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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▶ **ANNOUNCEMENTS (CONTINUED)**

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

• Equity securities acquired on or after January 1, 2011.

• Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012.

• Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.) Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.sipc.org](http://www.sipc.org).

**IMPORTANT INFORMATION**

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

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**JONATHAN P DURAN**



**Webull Financial LLC**  
44 Wall Street, New York, NY 10005  
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DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET	LAST PERIOD'S	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
					VALUE	MARKET VALUE		

EQUITIES / OPTIONS								
GENWORTH FINANCIAL INC	GNW	C	1	\$3.75	\$3.75	\$3.34	12%	.311%
COM CL A								
META MATLS INC	MMAT	C	243	4.65	1,129.95		N/A	93.771
COMMON STOCK								
OCCGEN INC	OCCN	O	9	7.59	68.31	60.39	13	5.669
COMMON STOCK								

**99.751%**

0.249%

**\$1,205.01**

## ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	08/31/21	C	META MATLS INC COMMON STOCK CUSIP: S9134N104	243	4	\$972.00	

**\$972.00**

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JONATHAN P DURAN

ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	08/12/21	C	FULLYPAID LENDING REBATE DUE 12/31/35 Jul/2021 REBATE Security Number: 8S87337				\$0.08

Total Dividends And Interest

\$0.08

FUNDS PAID AND RECEIVED

TOU	08/17/21	C	Journal to APEX CRYPTO / DIRECT ... (APXD) TPJl6f8b0c9a-d392-4bd7 9f50-fd2c3a77985a1)			\$25.00	
TOU	08/17/21	C	Journal to APEX CRYPTO / DIRECT ... (APXD) TPJl569c4f59-f2cc-4bae 891c-610e10ba326d)			5.22	
TOU	08/17/21	C	Journal to APEX CRYPTO / DIRECT ... (APXD) TPJl3b9c5563-ed08-47f0 81f2-0b5d85825a9d)			25.00	
TOU	08/30/21	C	Journal to APEX CRYPTO / DIRECT ... (APXD) TPJld0d16a2e-2dffa-486d 9b39-ae63b1b5fcd4)			25.00	
ACH	08/16/21	C	ACH DEPOSIT SEN20210816444722)				55.05
ACH	08/27/21	C	ACH DEPOSIT SEN20210827285697)				1,000.00

Total Funds Paid And Received

\$80.22

\$1,055.05



Statement Period: 01/01/2024 - 01/31/2024

Account Name: JONATHAN P DURAN

Account Number: 5UJ36052

Account Type: CASH

Account Address: 4203 Union Deposit Road #1203 HARRISBURG, PA, 17111

PORTFOLIO SUMMARY

This section provides an overview of cash and securities held in your Webull account as well as fully-paid securities you have loaned through your participation in the Apex Clearing Fully-Paid Securities Lending Program and the collateral held through the program's Trustee for your benefit at a bank.

	Total Cash Balance	Market Value of Securities in Your Account	Market Value of Securities in Long Account	Market Value of Securities in Short Account	Market Value of Fully-Paid Securities Loaned	Collateral Value	Loan Value	Portfolio Market Value
Opening	20.56	825.11	825.11	0.00	0.00	0.00	0.00	845.67
Closing	20.56	722.80	722.80	0.00	0.00	0.00	0.00	743.36

Welcome to your Webull Brokerage Account Statement!

This document provides a comprehensive overview of your investment activities and holdings within your Webull brokerage account. It serves as a record of your transactions, portfolio performance, and important account details. Details regarding participation in fully-paid securities lending are also provided here. A glossary of key definitions and important terms are provided at the end of the document.

Please note that this statement is for informational purposes only and does not provide personalized investment advice. If you have any questions or need assistance, our customer support team is available to help.

Please note that externally held assets are included on the statement solely as a courtesy; information (including valuation) for such externally held assets is derived from external sources for which the member is not responsible, and externally held assets may not be covered by SIPC.

Happy Investing with Webull!

OFFICE SERVING YOU

Webull Financial LLC  
Member FINRA (CRD: 289063), SIPC  
44 Wall Street, 2nd Floor  
New York, NY 10005  
customerservices@webull.us  
1 (888) 828-0618

YOUR CLEARING BROKER

Apex Clearing Corporation  
Member FINRA (CRD: 13071), SIPC  
350 N. St. Paul Suite 1300  
Dallas, TX 75201  
cs@apexclearing.com

CASH BALANCE DETAIL

	SIPC Cash Balance	FDIC Cash Balance	Total
Opening	20.56	0.00	20.56
Closing	20.56	0.00	20.56

CASH REPORT SUMMARY

This section provides a summary of all cash deposits, withdrawals, and other movements within your Webull brokerage account during the statement period. Key definitions and terms can be found at the end of this document.

Opening Cash	USD	20.56
Deposits	0.00	0.00
Withdrawals	0.00	0.00
Trades (Sold)	0.00	0.00
Trades (Bought)	0.00	0.00
Fee	0.00	0.00
Tax	0.00	0.00
Dividends	0.00	0.00
Interest	0.00	0.00
Others	0.00	0.00
Closing Cash	20.56	20.56
Closing Cash (Settled)	20.56	20.56

OPEN POSITIONS

Symbol	Cusip	Quantity	Muti	Closing Price	Amount
SNDL	83307B101	63	1	1.33	83.79
AMC	00165C302	2	1	4.05	8.10
BBIG	927330209	19	1	0.0100	0.19
OCTO	22890A203	1	1	0.6211	0.62
CENN	06519V146	3	1	1.19	3.57
DIDY	23292E108	149	1	3.49	520.01
SEVQ	N81409109	22	1	0.0670	1.47
HYMC	44862P208	36	1	2.01	72.36
PHUN	71948P100	47	1	0.3202	15.05
GNW	37247D106	1	1	6.17	6.17
GNS	Y3005A109	10	1	0.3830	3.83
MMAT	59134N302	2	1	3.82	7.64

ACCOUNT ACTIVITY